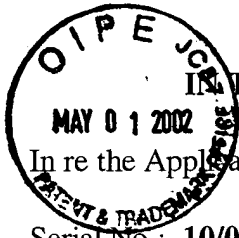


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D. P. L. J. W.  
6/25/02



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of: **FUKUDA, MASATOSHI et al**

Group Art Unit: **2812**

Serial No.: **10/020,951**

Examiner: **Not yet assigned**

Filed: **December 19, 2001**

P.T.O. Confirmation No.: **8648**

FOR: **SEMICONDUCTOR DEVICE AND METHOD FOR FABRICATING THE SAME**

**INFORMATION DISCLOSURE STATEMENT**  
**PURSUANT TO 37 CFR 1.97(b)**

Commissioner for Patents  
Washington, D.C. 20231

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May 1, 2002

Sir:

The attention of the Patent and Trademark Office is hereby directed to the documents listed on the attached Form PTO-1449. One copy of each of these documents is attached.

No fee or certification is required in connection with this Information Disclosure Statement, since it is being submitted prior to the issuance of a first official action on the merits or expiration of the three month period following the filing date or the entry of the national stage of the above-captioned application.

The above information is presented so that the Patent and Trademark Office can, in the first instance, determine any materiality thereof to the claimed invention. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the documents cited in the attached Form PTO-1449 be made of record therein and appear on the first page of any patent to issue therefrom.

The Commissioner is authorized to charge our Deposit Account No. 01-2340 for any fee which is deemed by the Patent and Trademark Office to be required to effect consideration of this statement.

Respectfully Submitted,

ARMSTRONG, WESTERMAN & HATTORI, LLP



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Atty. Docket No. **011724**  
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**23850**

PATENT TRADEMARK OFFICE

Enclosures: PTO-1449  
5 References

#3/725  
D. H. Wilson  
6/25/02

<b>INFORMATION DISCLOSURE CITATION</b> PTO-1449	Atty. Docket No. <b>011724</b>	Serial No. <b>10/020,951</b>
	Applicant(s): <b>FUKUDA, MASATOSHI et al</b>	
	Filing Date: <b>December 19, 2001</b>	Group Art Unit: <b>2812</b>

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**U.S. PATENT DOCUMENTS**

Examiner Initial	Document No.	Name	Date	Class	Subclass	Filing Date (If appropriate)
_____	AA					
_____	AB					
_____	AC					
_____	AD					
_____	AE					

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**FOREIGN PATENT DOCUMENTS**

Document No.	Date	Country	Translation (Yes or No)
_____ AF JP Hei 05-110025	4/30/93	Japan	Abstract only
_____ AG JP Hei 05-114711	5/07/93	Japan	Abstract only
_____ AH JP Hei 08-181231	7/12/96	Japan	Abstract only
_____ AI JP Hei 09-181278	7/11/97	Japan	Abstract only
_____ AJ JP Hei 10-050949	2/20/98	Japan	Abstract only

**OTHER DOCUMENTS**

_____	AK	
_____	AL	
Examiner		Date Considered

## PRIOR ART INFORMATION LIST

U.S. Patent Application No. 10/020,951

Your ref: P3374-0698-011724

Our ref: 2000-394492

No.	Inventor, Patent Number, County, Author, Title, Name of Document	Issue Date	Concise Explanation of the Relevance (indication of page, column, line, figure of the relevant portion)
1.	JP Hei 05-110025 (A)	Apr. 30, 1993	The upper edge face of the accumulated electrode 4 is rounded (FIG. 1).
2.	JP Hei 05-114711 (A)	May 7, 1993	The lower electrode 6b has the rounded end parts (FIG. 2).
3.	JP Hei 08-181231 (A)	Jul. 12, 1996	The upper end sections of the floating gate electrode are rounded (FIG. 1).
4.	JP Hei 09-181278 (A)	Jul. 11, 1997	The invention is for preventing the upper end of a cylinder type lower electrode from becoming sharp (FIG. 2).
5.	JP Hei 10-050949 (A)	Feb. 20, 1998	A part of the cylindrical shaped storage electrode SN is rounded (FIG. 1).